

Form No. 4-01-1
STAFF ADVISEMENT SHEET

To be completed by audit staff, including consultants:

NAME _____

DATE _____

PROPOSED ASSIGNMENT _____

Personal Impairments

	Yes	No
Regarding the agency/program to be audited:		
1. Do you have any official, professional, financial or personal relationships with anyone that might limit the extent of inquiry or disclosure, or weaken audit findings in any way?		
2. Do you have any preconceived ideas toward individuals, groups, organizations or objectives of a particular program that could bias the audit?		
3. Have you had previous involvement in a decision making or management capacity that would affect current operations of the entity or program being audited?		
4. Do you have political or social biases that result from employment in, or loyalty to, a particular group, organization, or level of government?		
5. Have you previously approved invoices, payrolls, claims, and other proposed payments for the entity being audited?		
6. Have you previously maintained the official accounting records of the entity being audited?		
7. Do you have a direct or substantial indirect financial interest in the audited entity or program?		
8. Please be advised that during any audit to which you are assigned, you are to be alert for fraud, abuse or illegal acts. If such acts are detected, notify the Audit Supervisor at once.		
9. If during the course of the audit, any personal, external, or organizational impairments occur that may affect your ability to do the work and report findings impartially, notify the City Auditor or the Supervising Auditor promptly.		

Signature

Form No. 4-01-1, STAFF ADVISEMENT SHEET, continued

To be completed by the Supervising Auditor:

1. Pertinent auditor qualifications:

2. Personal impairments? (list from previous page)

3. Can the impairments be mitigated?

a. If so, explain how and justify the assignment.

4. Will this assignment result in our auditing our own work? Yes ____ No ____

5. Has the City Auditor's Office (1) performed any management functions or made any management decisions relative to the auditee and (2) provided nonaudit services that are significant or material to the subject matter of the audit? Yes ____ No ____

a. If yes, explain why such nonaudit work will not impair the City Auditor's Office' organizational independence.

To be completed by the City Auditor:

I Approve / Disapprove the assignment

Further, I certify that we (1) will not audit our own work; (2) have not performed any management functions or made any management decisions relative to the auditee; and (3) have not provided nonaudit services that are significant or material to the subject matter of the audit.

Signature